

**Department of Intellectual and Developmental Disabilities
Quality Assurance Individual Review
for
Behavior Services**

Domain 2. Individual Planning and Implementation			
Related CQL Personal Outcome Measures:			
➤ People experience continuity and security.			
➤ People use their environments.			
➤ People choose services.			
➤ People choose personal goals.			
Related CQL Basic Assurance Indicators			
➤ People access quality health care.			
➤ The organization provides individualized safety supports.			
➤ The organization implements an ongoing staff development program.			
➤ The support needs of individuals shape the hiring, training and assignment of all staff.			
➤ People's individual plans lead to person-centered and person-directed services and supports.			
➤ The organization provides positive behavioral supports to people.			
➤ The organization provides continuous and consistent services and supports for each person.			
➤ Business, administrative and support functions promote personal outcomes.			
➤ The cumulative record of personal information promotes continuity of services.			
Outcome 2A. The person's plan reflects his or her unique needs, expressed preferences and decisions.			
Indicators	Results	Guidance	Comments
*2.A.4. Current and appropriate assessments of the person's abilities, needs and desires for the future are used in developing the plan.	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> IJ <input type="checkbox"/>	<p>The provider completes the Risk Issues Identification Tool prior to completion of the annual ISP or whenever needed to address emerging needs or amend current supports and interventions.</p> <p>A behavior assessment has been completed by a behavior analyst within the authorized timeframe.</p> <p>The Behavior Services Assessment Report meets DIDD quality criteria.</p> <p>If services are provided through a Consultative Behavior Services Model, the BSAR includes required information.</p> <p>The behavior service provider sent the completed</p>	

		assessment to the ISC or Case Manager. <i>Provider Manual reference: 3.6; 3.6-1; 4.6.a; 12.2-12.6.; DIDD Behavior Services Work Product Review</i>	
*2.A.5. The plan includes individualized supports and services to address the person's needs.	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> IJ <input type="checkbox"/>	<p>The behavior support plan meets DIDD quality criteria.</p> <p>If services are provided through a Consultative Behavior Services Model, staff instructions are included in the person's ISP.</p> <p>BSPs involving the use of behavioral safety interventions or specialized behavioral safety interventions include required elements in the Crisis section of the BSP.</p> <p><i>Provider Manual reference: 12.2.-12.6.; DIDD Behavior Services Work Product Review</i></p>	
Outcome 2B. Services and supports are provided according to the person's plan.			
Indicators	Results	Guidance	Comments
*2.B.2. The person's plan is implemented in a timely manner.	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> IJ <input type="checkbox"/>	<p>Services, plans and programs are developed and implemented according to time frames identified in the person's ISP (or there is documentation to support the extension of a timeframe and the need to update this in the ISP).</p> <p>The Behavior Support Plan implementation date is shown on the first page of the plan.</p> <p>Behavior Support Plans are written by a Behavior Analyst.</p> <p>Direct Support Professionals and other caregivers are trained before the Behavior Support Plan is implemented.</p> <p>Informed consent from the person or the person's legal representative is procured prior to implementation of all Behavior Support Plans.</p>	

		<p>BSPs including unrestricted procedures should be implemented within 30 days of the start date of the authorized BSP development; an additional 30 days may be allowed for procedures which require approval.</p> <p><i>Provider Manual reference: 3.10; 5.11; 12.2.-12.6.; DIDD Behavior Services Work Product Review</i></p>	
*2.B.3. The person receives services and supports as specified in the plan.	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> IJ <input type="checkbox"/>	<p>Services are consistently provided in a timely fashion, and in the approved type, amount, frequency, and duration identified in the person's Individual Support Plan.</p> <p>Discrepancies in approved units versus delivered units are identified and explained.</p> <p><i>Provider Manual reference: 5.11</i></p>	
*2.B.5. Provider documents provision of services and supports in accordance with the plan.	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> IJ <input type="checkbox"/>	<p>Ongoing documentation shows the provider's efforts to implement services and supports in accordance with the person's plan. Documentation is completed and maintained per DIDD Provider Manual.</p> <p>Contact notes are completed for all behavior services.</p> <p>Each contact note contains:</p> <ul style="list-style-type: none"> • The name of the person; • In/start time and out/stop time; • A brief narrative of what activities were completed during the appointment and how they apply to ISP outcomes, when Behavior Analysis: Other is provided; • The name of the behavior service provided; • The number of units provided; • Clinical service practitioner name, credentials and date of contact, and • Signature of the staff member or other witness for all services except Behavior Services: Assessment and Behavior Services: Planning and Development. 	

		<p>If services are provided through a Consultative Behavior Services Model, the contact note includes required information.</p> <p><i>Provider Manual reference: 12.2; DIDD Behavior Services Work Product Review</i></p>	
Outcome 2D. The person's plan and services are monitored for continued appropriateness and revised as needed.			
Indicators	Results	Guidance	Comments
<p>*2.D.6. Provider documentation indicates appropriate monitoring of the plan's implementation.</p>	<p>Y <input type="checkbox"/></p> <p>N <input type="checkbox"/></p> <p>NA <input type="checkbox"/></p> <p>IJ <input type="checkbox"/></p>	<p>A clinical service review is completed for any month in which services are authorized.</p> <p>The review provides a summary of the progress in meeting ISP outcomes.</p> <p>Monthly and Quarterly Clinical Service Reviews meet DIDD quality criteria.</p> <p>Clinical Service Monthly and Quarterly Reviews are sent to the ISC by the twentieth (20th) of the month following the month of service provision.</p> <p>If services are provided through a Consultative Behavior Services Model, then the CSQRs are completed as required.</p> <p>Discharge notes are completed in accordance with the requirements in the Provider Manual. Discharge notes include information required for the appropriate Clinical Services Review (monthly or quarterly) and the following additional information:</p> <ul style="list-style-type: none"> • Date of discontinuation of behavior services; • Description of progress across the course of treatment; • Reason for discharge; and • Discharge plan including reference to simple instructions in an ISP that will remain in effect when the BSP is discontinued. <p><i>Provider Manual reference: 3.10.b-c.; 12.2.; 12.4.; DIDD Behavior Services Work Product Review</i></p>	

2.D.7. The provider informs the ISC of emerging risk issues or other indicators of need for revision to the individual plan.	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> IJ <input type="checkbox"/>	<p>Documentation reflects when there are issues that may impact the continued implementation or appropriateness of an ISP or when there is a need for a review of the ISP, provider staff notify the appropriate persons, provide all needed information and follow the issue to resolution.</p> <p>The provider is responsible for carefully reviewing the final ISP and notifying the ISC of any inaccurate, conflicting or missing information.</p> <p><i>Provider Manual reference: 3.10.c.5-6.</i></p>	
Domain 4. Rights, Respect and Dignity			
Related CQL Personal Outcome Measures:			
➤ People are treated fairly.			
➤ People choose where and with whom they live.			
➤ People use their environments.			
➤ People live in integrated environments.			
➤ People choose services.			
➤ People are respected.			
➤ People exercise rights.			
➤ People choose where they work.			
Related CQL Basic Assurance Indicators			
➤ The organization implements policies and procedures that promote people's rights.			
➤ The organization supports people to exercise their rights and responsibilities.			
➤ People are treated as people first.			
➤ The organization respects people's concern and responds accordingly.			
➤ Supports and services enhance dignity and respect.			
➤ The organization provides continuous and consistent services and supports for each person.			
➤ Staff recognize and honor people's rights			
➤ People have privacy.			
➤ The organization treats people with psychoactive medication for mental health needs consistent with national standards of care.			
➤ People are free from unnecessary, intrusive interventions.			
➤ The organization upholds due process requirements.			
➤ The organization provides positive behavioral supports to people.			
Outcome 4D. Rights restrictions and restricted interventions are imposed only with due process.			
Indicators	Results	Guidance	Comments

<p>*4.D.3. Rights restrictions and restricted interventions are reviewed and/or approved in accordance with DIDD requirements.</p>	<p>Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> IJ <input type="checkbox"/></p>	<p>Providers take collaborative and coordinated action to obtain Behavior Support and Human Rights Committee approvals of restricted, special individualized, or specialized behavioral safety interventions prior to the BSP implementation date.</p> <p><i>Provider Manual reference: 2.9; 12.5.; 12.6.2-6.; DIDD Behavior Services Work Product Review</i></p>	
<p>Domain 9. Provider Capabilities and Qualifications</p>			
<p>Related CQL Personal Outcome Measures:</p>			
<p>➤ People decide when to share personal information.</p>			
<p>➤ People are free from abuse and neglect.</p>			
<p>Related CQL Basic Assurance Indicators</p>			
<p>➤ The organization implements policies and procedures that define, prohibit and prevent abuse, neglect, mistreatment and exploitation.</p>			
<p>➤ The organization implements systems for reviewing and analyzing trends, potential risks and sentinel events including allegations of abuse, neglect, mistreatment and exploitation, and injuries of unknown origin and deaths.</p>			
<p>➤ Data and documentation support evaluation of health care objectives and promote continuity of services and supports.</p>			
<p>➤ People receive medication and treatments safely and effectively.</p>			
<p>➤ They physical environment promotes people's health, safety and independence.</p>			
<p>➤ The organization implements a system for staff recruitment and retention.</p>			
<p>➤ The support needs of individuals shape the hiring, training and assignment of all staff.</p>			
<p>➤ The organization implements systems that promote continuity and consistency of direct support professionals.</p>			
<p>➤ The organization treats its employees with dignity, respect and fairness.</p>			
<p>➤ The organization provides continuous and consistent services and supports for each person.</p>			
<p>➤ The organization provides positive behavioral supports to people.</p>			
<p>➤ The organization's mission, vision and values promote attainment of personal outcomes.</p>			
<p>➤ Business, administrative and support functions promote personal outcomes.</p>			
<p>➤ The cumulative record of personal information promotes continuity of services.</p>			
<p>➤ Support staff know how to prevent, detect and report allegations of abuse, neglect, mistreatment and exploitation.</p>			
<p>➤ The organization has individualized emergency plans.</p>			
<p>➤ The organization implements an ongoing staff development program.</p>			
<p>Outcome 9A. The provider meets and maintains compliance with applicable licensure and Provider Agreement requirements.</p>			
<p>Indicators</p>	<p>Results</p>	<p>Guidance</p>	<p>Comments</p>

Related CQL Personal Outcome Measures:
➤ People experience continuity and security.
Related CQL Basic Assurance Indicators
➤ The organization implements sound fiscal practices.

Indicators	Results	Guidance	Comments
*10.A.1. The agency provides and bills for services in accordance with DIDD requirements.	Y <input type="checkbox"/> N <input type="checkbox"/> NA <input type="checkbox"/> IJ <input type="checkbox"/>	<p><u>Review of documentation and billing</u></p> <p>Documentation reviewed supports billing.</p> <p>Services are provided face to face except for staff training; behavior assessment/ BSP development; and presentation at Human Rights and Behavior Support Committee and planning meetings.</p> <p>In the event that services are provided by both a Behavior Analyst and a Behavior Specialist, the following is not billed:</p> <ul style="list-style-type: none"> • Behavior Analyst and Behavior Specialist services provided at the same time to the same service recipient • Oversight activities by a Behavior Analyst for a Behavior Specialist <p>Service Providers do not bill for documentation, travel or phone calls related to service provision.</p>	

		<p>Services are not provided in, or provided while the person is in, a hospital, ICF/IID, Skilled Nursing Facility, local K-12 educational facility or other federally funded program.</p> <p>Co-treatments are medically necessary, time-limited, and clearly documented by both disciplines as to the purpose in relation to identified actions in the ISP or clinical plans.</p> <p><i>Provider Manual reference: 5.11.; 12.2; 12.3; Waiver service definition</i></p>	
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